AMENDMENTS TO THE CLAIMS

This listing of claims will replace all prior versions, and listings, of claims in the application:

1-64. (cancelled)

65. (currently amended) A computer-based system for trading financial instruments comprising:

a brokerage interface through which a client can, using a client computer, transmit and receive information such as client account information, quote information, assistance information to assist the client at the client computer in using the brokerage interface, and client order information;

a server connected to the brokerage interface for receiving from and transmitting to the brokerage interface information such as client account information, quote information, and client order information;

a mainframe computer connected to the server;

a trading system connected to the mainframe computer; and

a financial advisor computer connected to the mainframe computer,

wherein the mainframe computer is connected to the server, the trading system and the financial advisor computer for (1) transmitting to, and receiving from, either of the client computer or the financial advisor computer client information, associated with a particular client, that includes that client's account information and that client's order information, (2) determining whether that client's orders should be approved for execution based on application of predetermined, customizable business rules to that client's received account information and that client's received order information, and (3) executing approved client

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orders, such that in response to a client of a user of the financial advisor computer entering an order to trade a financial instrument:

the mainframe computer transmits an alert in real-time to the financial advisor computer including information pertaining to the trade,

the mainframe computer determines whether the order is validated or not, and notifies the client of successful validation or non-validation, respectively,

in the case of successful validation, after notifying the client of successful validation, the mainframe computer waits for client approval of the order before executing the trade, and

the financial advisor computer is connected to the mainframe computer such that, in response to the alert, the user of the financial advisor computer can, in real-time, take action regarding the trade prior to execution of the trade.

66. (previously presented) The system of claim 65, wherein the assistance information is provided to the client through a trade wizard helper program.

67. (previously presented) The system of claim 65, wherein the predetermined, customizable business rules are designed to limit the client's risk in trading financial instruments and can be applied in real time.

68. (cancelled)

69. (cancelled)

70. (cancelled)

71. (cancelled)

72. (currently amended) The system of claim ~~71~~ 65, wherein the user of the financial advisor computer can make corrections to ~~the~~ information that the client transmits from the client computer to the brokerage interface.

73. (previously presented) The system of claim 72, wherein the user of the financial advisor computer can make the corrections in real-time.

74. (new) A computer-based system for trading financial instruments comprising:

a brokerage interface through which a client can, using a client computer, transmit and receive information such as client account information, quote information, assistance information to assist the client at the client computer in using the brokerage interface, and client order information;

a server connected to the brokerage interface for receiving from and transmitting to the brokerage interface information such as client account information, quote information, and client order information;

a mainframe computer connected to the server;

a trading system connected to the mainframe computer; and

a financial advisor computer connected to the mainframe computer,

wherein the mainframe computer is connected to the server, the trading system and the financial advisor computer for (1) transmitting to, and receiving from, either of the client computer or the financial advisor computer client information, associated with a particular client, that includes that client's account information and that client's order information, (2) determining whether that client's orders should be approved for execution based on application of predetermined, customizable business rules to that client's received account

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information and that client's received order information, and (3) executing approved client

orders, such that in response to a client of a user of the financial advisor computer entering an

order to trade a financial instrument:

the mainframe computer determines whether the order is validated or not, and

notifies the client of successful validation or non-validation, respectively,

in the case of non-validation, the mainframe computer transmits an alert to the

financial advisor computer indicating that the order has been blocked that includes

information pertaining to the trade; and

the financial advisor computer is connected to the mainframe computer such that, in

response to the alert, the user of the financial advisor computer can, in real-time, take action

regarding the trade prior to execution of the trade.

75. (new) The system of claim 74, wherein the alert includes reasons why the trade

was blocked.

76 (new) The system of claim 74, wherein the user of the financial advisor

computer can, in real-time, correct the order that the client has entered.

77. (new) The system of claim 74, wherein the assistance information is provided

to the client through a trade wizard helper program.

78. (new) The system of claim 74, wherein the predetermined, customizable

business rules are designed to limit the client's risk in trading financial instruments and can

be applied in real time.

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79. (new) The system of claim 74, wherein in the case of successful validation, the mainframe computer transmits an alert to the financial advisor computer that includes information pertaining to the trade,

after notifying the client of successful validation, the mainframe computer waits for client approval of the order before executing the trade, and

the financial advisor computer is connected to the mainframe computer such that, in response to the successful-validation alert, the user of the financial advisor computer can, in real-time, take action regarding the trade prior to execution of the trade.